

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Kanji WAKABAYASHI et al. : Mail Stop: PCT  
Serial No. NEW : Attorney Docket No. 2006\_1413A  
Filed August 29, 2006 :  
OPTICAL HEAD APPARATUS AND :  
OPTICAL INFORMATION APPARATUS :  
[Corresponding to PCT/JP2005/007398  
Filed April 18, 2005]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

ATTACHMENT E

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

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29 AUG 2006

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ an International Search Report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

JP 2004-134056 corresponds to US 2004/0114495

JP 9-7201 corresponds to US 5,986,984

5. ☒ an International Search Report citing one or more of the references is enclosed.

Respectfully submitted,

Kanji WAKABAYASHI et al.

By

  
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August 29, 2006

Sheet 1 of 1

INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

LIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: August 29, 2006

ATTY DOCKET NO.  
2006\_1413A

SERIAL NO.  
NEW

20/590968

APPLICANT  
Kanji WAKABAYASHI et al.

FILING DATE  
August 29, 2006

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2004/0114495	6-17-04	Kim et al.			
	AB	5,986,984	11-16-99	Nakamura et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AC	10-106022	4-24-98	Japan			abstract
	AD	10-64114	3-6-98	Japan			abstract
	AE	2004-134056	4-30-04	Japan			abstract
	AF	11-120587	4-30-99	Japan			abstract
	AG	9-35304	2-7-97	Japan			abstract
	AH	2000-20987	1-21-00	Japan			abstract
	AI	9-198708	7-31-97	Japan			abstract
	AJ	9-7201	1-10-97	Japan			abstract
	AK	1-302547	12-6-89	Japan			abstract
	AL	2001-184681	7-6-01	Japan			abstract
	AM	2002-150584	5-24-02	Japan			abstract
	AN	03/073152	9-4-03	WO			abstract
	AO	9-17005	1-17-97	Japan			abstract
	AP	2002-245650	8-30-02	Japan			abstract
	AQ	2002-208173	7-26-02	Japan			abstract

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.